



INFORMATION DISCLOSURE CITATION

ATTY. DOCKET NO.

3594-2

SERIAL NO.

3394-2

09/087,574

(Use several sheets if necessary)

HARRINGTON et al.

FILING DATE

GROUP

May 29, 1998

2765

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)

77	Landes, David V., 8/16/1996 Letter with attachments
78	Thomas, Rick, 8/28/1996 Letter with attachment
79	"Sample Form of MuniBid™ Notice of Sale," 9 pages
79	Brochure, "Introduction to MuniBid™ Optimizing Municipal Bond Sales," 13 pgs.
79	"BiDCOMP Competitive Bidding System," screen capture, 16 pgs., 1/20/1998, 3/3/1998

***Examiner**

Text(?) blangf

Date Considered

2 / 103

[Redacted] Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Inc copy of this form with next communication to application.

Form PTO-FB-A820 (Also PTO-1449)

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

91

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Complete If Known	
Application Number	09/087,574
Filing Date	MAY 29, 1998
First Named Inventor	Harrington, et al.
Group Art Unit	NOT YET ASSIGNED
Examiner Name	NOT YET ASSIGNED
Attorney Docket Number	DB562

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	:
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Unique citation designation number. **Applicant is to place a check mark here if English language Translation is attached.**

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Substitute for form 14498/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

Complete If Known

Application Number	
Filing Date	29 May 1998
First Named Inventor	Harrington, et al
Group Art Unit	
Examiner Name	
Attorney Docket Number	DB000562-000

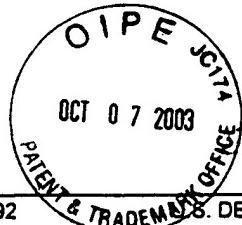
OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	:
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FORM PTO-892

DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SERIAL NO.

09/087,574

GROUP ART
UNIT

2765

ATTACHMENT
TO PAPER NO.15
17

NOTICE OF REFERENCES CITED

APPLICANT(S)

HARRINGTON et al.

U.S. PATENT DOCUMENTS

*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
A						
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FOREIGN PATENT DOCUMENTS

*	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUB-CLASS
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M						
N						
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R	"Grant Street Advisors Is Setting Up The First Muni Bond Auction Web Site," The Bond Buyer, v320, #30159. pg. 1, 4 June 1997.
S	Richmyer, Richard; "Survey Shows Bond Market is Warming Up to Electronic Trading," The Bond buyer, v321, #30213, 20 August 1997.
T	Stirland, Sarah; "News and Trends: Brokers-Dealers to hawk Products Via Satellite and cable TV," The Bond Buyer, v320, #30125, 16 April 1997.
U	

EXAMINER

Forest Thompson Jr.

DATE

August 22, 2000

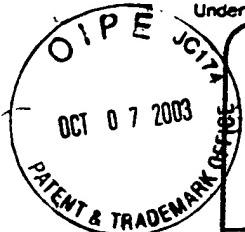
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Substitute for form 1449APTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2 Attorney Docket Number DB000562-000

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Harrington, et al.
Group Art Unit	
Examiner Name	

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	..
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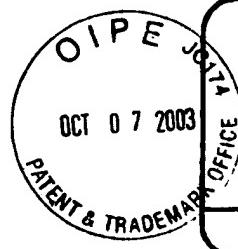
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

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Complete if Known

Application Number	09/087,574
Filing Date	May 29, 1998
First Named Inventor	Harrington
Group Art Unit	
Examiner Name	
Attorney Docket Number	DB000562-000

U.S. PATENT DOCUMENTS

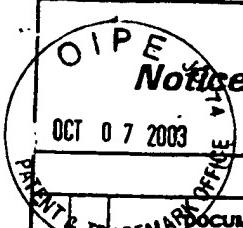
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST-3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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 Notice of References Cited OCT 07 2003		Application No. 09/087,574	Applicant(s) HARRINGTON ET AL.
		Examiner Forest Thompson Jr.	Group Art Unit 2765

U.S. PATENT DOCUMENTS

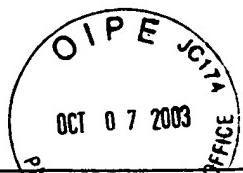
ALPHABETIC INDEX	TRADEMARK DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,794,207	08/11/98	WALKER et al.	705	37
B	5,845,266	12/12/95	LUPIEN et al.	705	37
C	5,905,974	05/18/99	FRASER et al.	705	37
D	5,905,975	05/18/99	AUSUBEL	705	37
E	5,915,209	06/22/99	LAWRENCE	455	31.2
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NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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FORM PTO-892 U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SERIAL NO. 09/087,574	GROUP ART UNIT 2765	ATTACHMENT TO PAPER NO. 17
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NOTICE OF REFERENCES CITED

APPLICANT(S)

HARRINGTON et al.

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A	5,774,880	6/1998	Ginsberg	705	36	
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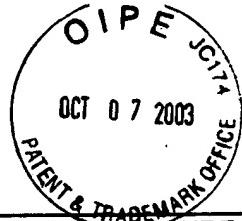
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R	"Internet Benefits SF Redevelopment Offering," California Public Finance, v10, n21, pN/A, 13 January 1997
S	Dazzo, Nicholas J.; "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients With Timely Bond Data: Municipal bond dealers have never had it so easy," The Bond Buyer, v289, #2821.
T	29 August 1989.
U	"JP Morgan and Capital Link in Bid to develop Electronic Auction for Corporate Debt Securities," Trading Systems Technology, c2, n20, 24 April 1989.

EXAMINER Forest Thompson Jr.	DATE August 22, 2000	Form892ccs2106b
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* A copy of this reference is not being furnished with this office action.
(See Manual of Patent Examining Procedure, section 707.05(a).)



Sheet 1 f 1

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**INFORMATION DISCLOSURE
CITATION**

ATTY. DOCKET NO.

SERIAL NO.

3594-2

09/087,574

HARRINGTON et al.

(Use several sheets if necessary)

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GROUP

May 29, 1998

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U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

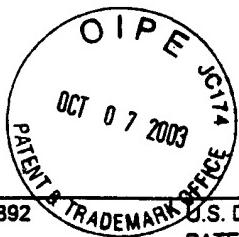
							TRANSLATION	
		DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
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-	-							
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OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)

11	U.S. Trademark File History for mark "PARITY & Design" (Reg. No. 1772581) including specimen entitled "PARITY A Real-Time, No-Risk Bidding Network From 21 st Century Municipals" (1992)		
7	Morgenstern, Renata, "Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales," pp. 23-25 Government Finance Review (02/2000)		
11	Richtmyer, "Gaining PARITY: Dalcomp Purchases Electronic Bid System To Exploit Internet", <u>The Bond Buyer</u> (2/25/98)		
11	Whalen, Robert, "Where is Dalcomp? New Product Awaits Inaugural Deal," <u>The Bond Buyer</u> (8/19/98)		
31	Whalen, Robert, "Dalcomp's Electronic Bidding System Set to Debut With Wisconsin GO Deal," <u>Bond Buyer</u> , (8/21/98)		
11	4/30/96 Fax from PARITY		
11	Document entitled: "Q: What Do These Issues Have in Common?"		
13	Official Notice of Sale, Tennessee Local Development Authority		
11	Bid Form Tennessee Local Development Authority		
11	PARITY Bid Form		
11	PARITY Form of Agreement		
11	Suggested language document		
11	Financial Advisors/Issuers" document, "The Financial Adviser Receives A Bid Status Report ..."		
11	Financial Advisors/Issuers document, "Financial Advisors/Issuers see the following data for each bid and for each issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)."		
Einer	Land Surveyor	Date Considered	8/21/00

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Form PTO-FB-A820 (Also PTO-1449)



FORM PTO-892

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

SERIAL NO.

09/087,574

GROUP ART
UNIT

2765

ATTACHMENT
TO PAPER NO.

1

NOTICE OF REFERENCES CITED

APPLICANT(S)

HARRINGTON et al.

U.S. PATENT DOCUMENTS

*		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
X	A	5,857,176	1/1999	Ginsberg	705	36	
X	B	5,774,176	6/1998	Carter	705	36	
X	C	5,905,974	5/1999	Fraser et al	705	37	
	D						
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FOREIGN PATENT DOCUMENTS

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	M						
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	O						
	P						
	Q						

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

Forest Thompson Jr.

DATE

February 2, 2000

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